

## Exhibit 300: Capital Asset Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview & Summary Information

**Date Investment First Submitted:** 2009-06-30  
**Date of Last Change to Activities:** 2012-07-27  
**Investment Auto Submission Date:** 2012-02-29  
**Date of Last Investment Detail Update:** 2012-02-24  
**Date of Last Exhibit 300A Update:** 2012-08-22  
**Date of Last Revision:** 2012-08-22

**Agency:** 024 - Department of Homeland Security  
Directorate

**Bureau:** 65 - National Protection and Programs

**Investment Part Code:** 01

**Investment Category:** 00 - Agency Investments

**1. Name of this Investment:** NPPD - ISCP (Infrastructure Security Compliance) - CSAT

**2. Unique Investment Identifier (Ull):** 024-000009520

#### Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

The Infrastructure Security Compliance Project (ISCP) has been implemented in response to Public Law 109-295, that provides DHS with the authority to regulate chemical facilities that present a high level of security risk. ISCP role is to assess the national risks of terrorist attacks on chemical facilities and resulting impacts of such attacks towards managing the reduction of chemical facility security risk. DHS issued an Interim Final Rule, the Chemical Facility Anti-terrorism Standards (CFATS) and subsequent Appendix A (covered chemicals and thresholds). This investment provides for developing the Chemical Security Assessment Tool and the Chemical security Management System (CHEMS) collectively tagged ?CSAT suite? (CSATs). It will include future system functionality development addressing gap capability requirements resulting from; new regulation affecting the sale/purchase of Ammonium Nitrate, future CFATS legislative changes, and system migration to a DHS Data Center. This investment is a critical enabling tool supporting a mandated regulatory program benefiting the strategic activity of ?Preventing Terrorism and Enhancing Security?. CSATs fills the gap in non-existing capabilities providing for the electronic submission of extensive facility data and controlled use of such data. Scope of this investment includes: development of requirements, solution build & testing, deployment & hosting of an industry facing portal, and system technical sustainability. CSATs has no dependency on any other investment.

Stakeholders include: Private Sector Partners, Regulated facilities (owners/operators), Federal Security Partners, State, Local, Tribal and Territorial partners, emergency responders, and ISC Program operations. The initial system functionalities were put into production in April 2008. An iterative development methodology is being used providing multiple new capability and enhancement deployments responding to elaborated requirements each FY based on priorities and appropriated funding. Nearly 40,000 system active user IDs are being maintained. The sustainability of the current CSATs capabilities is critical while remaining flexible and responsive to a dynamic environment and evolving requirements. A moderate level of DME activities is projected for BY and out-years responding to new/changes in legislation, system migration determination, and refinement in ISCP workflow processes. The investment is expected to reach Steady State (O&M) by end of FY15.

**2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.**

This investment outcome supports a mandated regulatory program benefiting the mission represented in multiple DHS venues including: (1) The National Coordinator Outcome: Any physical or virtual disruption of the operation of the critical infrastructure of the United States is rare, brief, geographically limited in effect, and minimally detrimental to the economy, provision of governmental services, and national security of the United States. (2) Quadrennial Homeland Security Review (QHSR) Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities. (3) QHSR Goal 1.3: Manage Risks to Critical Infrastructure, Key Leadership, and Events. And (4) DHS/NPPD FY11 Strategic Activities: Preventing Terrorism and Enhancing Security. The investment provides an effective enabling tool for: the registration of covered high-risk chemical facilities, determination of facility high-risk Tiering 1-4 (vs. not covered) using risk-based standards analysis (out of nearly 40,000 top-screen submissions over 4,000 facilities are currently tiered as high-risk facilities to date and subject to the regulation provisions), 24X7 national system accessibility (less planned down time), submission and review of facility Site Security Plans, users training for handling Chemical-terrorism Vulnerability Information, independent data source for verification of facility identification data and alerts on changes, data source for vetting covered facility personnel against the Terrorist Screening Database, and management of inspector/inspection activities and records. These unique capabilities respond directly to closing respective capability gaps and alignment with the investment mission. Any short fall in fiscal year funding will result in: Delaying implementation of regulatory based processes and elaborated process efficiency enhancements. Potential failure to meet legislated mandates. Hinder timely and effective communications to covered high risk facilities, operators, and SLTT partners. And impact productivity of inspection personnel thus extending the timeline for completing inspections and inspection cycles that would precipitate an increase in Congressional inquiries and reporting. Any failings to meet the project objects in either capabilities or timeline may result in possible industry lawsuits, legislative changes, or overall failing at the mission purpose of CI protection.

**3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added,**

**or operational efficiency achieved.**

Personnel Surety major enhancements: Development of the core collection application and the interface with TSA and some minor changes to the core collection application. CFATS Share and Reporting Tool major enhancements: Enhanced geospatial viewer that incorporated specific HSIP Gold layers, i.e., schools, FEMA region, EMS, fire/rescue, view by geographic jurisdiction, i.e., Region 1, FBI, USCG and capability to export user reports to Microsoft Excel and save as PDF. CSAT Knowledge Center major enhancements: Changes to the user interface that improves user navigation when viewing/searching FAQs, Latest News, Documents, and Articles. Added CFATS Helpdesk webform. Agriculture Survey: Developed Agriculture Survey – allows users to complete and submit survey. CHEMS & CSAT Restoration testing. Deployment of VMWare solution for the h/w and s/w refresh of the CSAT unclassified system establishing a “cloud” database system. Implemented D&B data feed for facility data submission validation.

**4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).**

CY FY 12 Planned Accomplishments: 1. Personnel Surety: Developing the interface with US Customs and Border Protection and some minor changes to the core collection application. 2. Facility Analysis and Chemical Tiering System (FACTS): development of analytical/query application that brings together survey and tiering data. 3. Ammonium Nitrate (AN) IT V1.1 – Registration: Provides non-rule affected capability for producers or consumers of Ammonium Nitrate to register with DHS for permission to make AN sales or purchases. 4. CHEMS v4.1 – Integrated Project Team Process Enhancements (Alternate Security Plan): Updated process workflow to address new document review process for Alternate Security Plans submitted by industry. 5. CSAT v6- CFATS Workflow Process Enhancements: Updated workflow processes to address refined division business processes to improve manpower efficiencies. 6. Chemical-terrorism Vulnerability Information (CVI) Account User Management Application (JTL) v1.0: Provides industry users with the ability to update their CVI training, ask questions concerning CVI documents, and provide notification of CVI disclosures both accidental and intentional. 7. Test & Development Environment Migration (JTL) v0: Pilot of Hardware and Software system refresh for test and development environments, providing shared resources (cloud) environment. BY FY13 Planned Accomplishments: 1. Ammonium Nitrate (AN) IT V1.2 – Registration: Provides final rule affected capability for producers or consumers of Ammonium Nitrate to register with DHS for permission to make AN sale or purchases. 2. AN IT V2.1 – Verification: Provides initial capability to verify, purchasers and sellers of Ammonium Nitrate against the Terrorist Screening Database. 3. CSAT v7 - NextGen, Release 1: Updated capabilities to address a next generation in Top Screen, SVA, and SSP surveys. Includes changes in the industry survey content as well as the associated work flow processes required. 4. Tablet Mobile Application (JTL) v1: Provide field inspectors with a hand-held data capture device that can be used during facility inspections to verify the contents of the facility Site Security Plan. 5. Production Environment Migration, Specification and Pilot: Develop service specification and pilot for migration to DC2 cloud hosting environment.

**5. Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology**

**specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.**

2011-06-28

## Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

	PY-1 & Prior	PY 2011	CY 2012	BY 2013
Planning Costs:	\$0.3	\$0.0	\$0.0	\$0.0
DME (Excluding Planning) Costs:	\$19.0	\$7.3	\$11.4	\$14.6
DME (Including Planning) Govt. FTEs:	\$1.5	\$0.4	\$0.4	\$0.4
Sub-Total DME (Including Govt. FTE):	\$20.8	\$7.7	\$11.8	\$15.0
O & M Costs:	\$27.4	\$7.2	\$7.9	\$10.8
O & M Govt. FTEs:	\$0.9	\$0.1	\$0.1	\$0.1
Sub-Total O & M Costs (Including Govt. FTE):	\$28.3	\$7.3	\$8.0	\$10.9
Total Cost (Including Govt. FTE):	\$49.1	\$15.0	\$19.8	\$25.9
Total Govt. FTE costs:	\$2.4	\$0.5	\$0.5	\$0.5
# of FTE rep by costs:	18	4	4	4
Total change from prior year final President's Budget (\$)		\$-3.4	\$5.5	
Total change from prior year final President's Budget (%)		-18.00%	38.00%	

**2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:**

FY12 (CY) increased from \$14.4M to \$28.3 with select new project activities being added or others rebaselined: Ammonium Nitrate (AN) milestones supporting new final AN regulation capabilities, the reengineering of SSP workflow in CSAT, added enhancements to CHEMS for process improvements supporting Alternative Security Plan processing, and added migration of CSAT/CHEMS Dev & Test environment from ANL (FFRDC) to JTL.

## Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
Awarded	7001	<a href="#">HSHQDC10J00472</a>	HSHQDC06D00032	7001							
Awarded	7001	<a href="#">HSHQDC07J00634</a>	GS10F06LPA0007	4730							
Awarded	7001	<a href="#">HSHQDC10F00132</a>	GS35F0152N	4730							
Awarded	7001	<a href="#">HSHQDC07J00634</a>	GS10F06LPA0007	4730							
Awarded	7001	<a href="#">HSHQDC07J00515</a>	HSHQDC06D00032	7001							
Awarded	7001	<a href="#">HSHQDC11F00012</a>	GS22F9614D	4730							
Awarded	7001	<a href="#">HSHQDC10F00132</a>	GS35F0152N	4730							

**2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:**

Earned Value Management is not available for IAAs as a contract administration tool. It is only required under FAR 34.201 for the development contracts undertaken to support major acquisitions via contractors. However, in lieu of performing actual earned value management assigning value to each work package, the project manager will monitor and administer the IAA with DOE using appropriate metrics and data to ensure that milestones and deliverables are achieved in accordance with the overall program plan in terms of cost and schedule. There are sufficient milestones and deliverables defined to ensure that the PM will know as soon as any DOE performance or cost overrun occurs and will immediately take effective corrective action. The basic principles of EVM are being applied and meeting the objective of EVM discipline. Performance Basing (PB) is not appropriate for IAAs. Performance Based Contracts are only required under FAR 37.102 and are not applicable to interagency agreements. However, DOE will perform its responsibilities under the IAA in part through service contracts. These service contracts will be Performance Based and activity administered to ensure that the performance standards are met or exceeded. Project milestones are planned with supporting defined activities reflecting planned costs and planned durations for all investment vendors. The monthly reported costs for each milestone is tracked and compared to the respective plan. Deliverables and burn rates are

monitored and maintained responding to leadership project priorities. Legislative changes, new emerging requirements, delays in legislation, and fluctuations in funding influence monthly deliverables and overall project priorities.



## Exhibit 300B: Performance Measurement Report

### Section A: General Information

**Date of Last Change to Activities:** 2012-07-27

### Section B: Project Execution Data

**Table II.B.1 Projects**

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
1	Ammonium Nitrate Analysis of IT Requirements FY11 Q4 close out	Fulfilling capability requirements of Ammonium Nitrate (AN) Public Law 110-161 Section 563 (2007). Development of preliminary Alternative Analysis and conceptual non-rule affected IT requirements to meet the drafted regulatory requirements. Close out FY11 milestone that was developed under FY12 prior methodology.			
2	Case Management FY11 Q4 close out	Fulfilling capabilities requirement of Chemical Facility Anti-Terrorism Standards (CFATS) Public Law 109-295 (2006). Development, deployment, and enhancement of case management tool used by ISCD HQ staff members and Field Inspectors. Maintains all communications, compliance status, inspection data, and facility data records from CSAT for high-risk chemical facilities. Close out FY11 milestone that was developed under FY12 prior			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
		methodology.			
3	Chemical Security Assessment Tool Enhancements FY11 Q4 close out	Fulfilling capabilities requirement of Chemical Facility Anti-Terrorism Standards (CFATS) Public Law 109-295 (2006). CSATs fills the gap in non-existing capabilities providing for the electronic submission of extensive facility data and controlled use of such data. The CSAT system is used by the high-risk chemical facilities for data submission. Development, deployment, and enhancement of the following operating capabilities: Facility Registration; Consequence Based Screening; Site Vulnerability Assessments; Site Security Plan Submission; and facility data analysis for Facility Tiering. Close out FY11 milestone that was developed under FY12 prior methodology.			
4	Production System Update FY11 Q4 close out EA	Migration of the production environment from existing legacy infrastructure to a Services-Oriented environment. This satisfies many of the benefits of hosting in a Cloud environment including: shared resources among applications, and built-in redundancy. Close out FY11 milestone that was developed under FY12 prior methodology.			
5	Ammonium Nitrate DME	Fulfilling capability requirements of Ammonium Nitrate (AN) Public Law 110-161 Section 563 (2007). Development of final Alternative Analysis. Development and deployment of non-rule affected			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
		and rule affected IT requirements needed to fulfill new capabilities required in final rule making published in the Federal Register pursuant to Public Law 110-161 (2007).			
6	Case Management DME	Fulfilling capabilities requirement of Chemical Facility Anti-Terrorism Standards (CFATS) Public Law 109-295 (2006). Development ,deployment, and enhancement of case management tool used by ISCD HQ staff members and Field Inspectors. Maintains all communications, compliance status, inspection data, and facility data records from CSAT for high-risk chemical facilities.			
7	Chemical Security Assessment Tool DME	Fulfilling capabilities requirement of Chemical Facility Anti-Terrorism Standards (CFATS) Public Law 109-295 (2006). CSATs fills the gap in non-existing capabilities providing for the electronic submission of extensive facility data and controlled use of such data. The CSAT system is used by the high-risk chemical facilities for data submission. Development,deployment, and enhancement of the following operating capabilities: Facility Registration; Consequence Based Screening; Site Vulnerability Assessments; Site Security Plan Submission; and facility data analysis for Facility Tiering.			
8	Develop staging environment for Development & Testing	Acquisition and standup of hardware and software system			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
		that will provide a shared resources (cloud) environment for the CSATs & CHEMS systems delivering in a single environment for staging production application changes.			
9	Production Environment Migration to DHS DC	Migration of the Production hosting environment from Oak Ridge National Laboratory to the DHS DC2 facility fulfilling DHS data centers consolidation initiative.			
10	Maintenance Support FY11 Q4 close out	Annual Hosting, Maintenance, minor enhancements, data subscription, and break-fix support. Close out FY11 milestone that was developed under FY12 prior methodology.			
11	Maintenance Support	Annual Hosting, Maintenance, minor enhancements, data subscription, and break-fix support.			

Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
1	Ammonium Nitrate Analysis of IT Requirements FY11 Q4 close out							
2	Case Management FY11 Q4 close out							
3	Chemical Security Assessment Tool Enhancements FY11 Q4 close out							

## Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
4	Production System Update FY11 Q4 close out EA							
5	Ammonium Nitrate DME							
6	Case Management DME							
7	Chemical Security Assessment Tool DME							
8	Develop staging environment for Development & Testing							
9	Production Environment Migration to DHS DC							
10	Maintenance Support FY11 Q4 close out							
11	Maintenance Support							

## Key Deliverables

Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
1	Ammonium Nitrate Analysis of IT Requirements FY11 Q4 close out r1.1	Preliminary AoA for non-rule affected IT requirements and draft of speculated options that may be affected by final regulation.FY11 Q4 close out	2011-09-30	2011-09-30	2011-09-30	364	0	0.00%
8	Develop staging environment for CSATs Development	Procure and standup initial Hardware and Software staging	2012-04-27	2012-09-30		207	-156	-75.36%

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
	& Testing r8.1.1	system, providing shared resources (cloud) environment for the CSATs system.						

## Section C: Operational Data

Table II.C.1 Performance Metrics

Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency
System Availability within planned operational hours of 7A-7P ET	Percent	Technology - Reliability and Availability	Over target	99.000000	99.200000	100.000000	99.300000	Monthly
Formal industry outreach activities. This metric provides the chemical industry or program partners (SLTT, first responders, etc) with compliance guidance or knowledge sharing.	Number	Mission and Business Results - Services for Citizens	Over target	48.000000	96.000000	109.000000	100.000000	Quarterly
System capacity to support peak observed user transaction (key strokes) load.	Number	Technology - Reliability and Availability	Over target	18000.000000	18000.000000	114153.000000	100000.000000	Semi-Annual
Number of Tier-1 facilities Authorized Inspections performed in accordance with Public Law 109-295. This is a regulatory compliance performance metric.	Number	Mission and Business Results - Services for Citizens	Over target	2.000000	10.000000	8.000000	99.000000	Monthly
Average wait time for Help Desk Calls answered from Industry.	Seconds	Process and Activities - Cycle Time and Timeliness	Under target	11.000000	10.500000	9.000000	10.250000	Semi-Annual
Percent of actionable Redetermination Requests submitted in FY12 completed within 45 days of receipt.	Percent	Customer Results - Timeliness and Responsiveness	Over target	0.000000	100.000000	40.000000	100.000000	Semi-Annual

